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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.: 09/895,281  
Filing Date: June 29, 2001  
Title: SINGLE PARTY BUYING AND SELLING COMMODITIES WITH  
MULTIPLE COUNTERPARTIES  
Applicants: Louise J. Kitchen et al.  
Group Art Unit: 2161  
Atty Docket No.: ENR100/4-15

CERTIFICATE OF MAILING

Assistant Commissioner for Patents  
Box Non-Fee Amendment  
Washington, D.C. 20231

Dear Madam/Sir:

Date of Deposit: December 27, 2001

I hereby certify that I have a reasonable basis to expect that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed and dated as indicated above.


This correspondence includes the following enclosures:

1. Preliminary Amendment;
2. Fee Transmittal Sheet, which indicates no fee is due;
3. Supplemental Information Disclosure Statement;
4. Form PTO 1449;
5. Copy of each reference cited in Form PTO 1449; and
6. Stamped return postcard.

If additional fees are required please charge Deposit Account No. 22-0365.

Respectfully submitted,

Date: December 27, 2001

  
Stephen S. Hodgson  
Registry No. 41,075  
VINSON & ELKINS L.L.P.  
2300 First City Tower  
1001 Fannin Street  
Houston, Texas 77002  
Phone: (713) 758-2604  
Fax: (713) 615-5730

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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**Applicant:** Louise J. Kitchen et al.

**Confirmation #:** 7189

**Serial No.:** 09/895,281

**Filed:** June 29, 2001

**Title:** Single Party Buying and Selling Commodities with Multiple Counterparties

**Atty Docket No.:** ENR100/4-15

**RESPONSE TO NOTICE TO FILE MISSING PARTS  
OF NONPROVISIONAL APPLICATION**

Assistant Commissioner for Patents  
BOX MISSING PARTS  
Washington, D.C. 20231

Dear Sir:

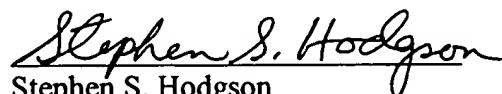
In response to a Notice to File Missing Parts of Nonprovisional Application mailed August 22, 2001, a copy of which is attached, Applicants submit herewith an executed Declaration in compliance with 37 CFR 1.63.

Also enclosed is our check in the amount of \$130.00. If additional fees are required, please charge Deposit Account No. 22-0365, Attn: ENR100/4-15.

Applicants believe that the above-referenced nonprovisional application is now in full compliance with the formal requirements of the U.S. Patent and Trademark Office.

Respectfully submitted,

Date: October 19, 2001

  
Stephen S. Hodgson  
Registry No. 41,075  
VINSON & ELKINS L.L.P.  
2300 First City Tower  
1001 Fannin  
Houston, Texas 77002-6760  
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COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/895,281	06/29/2001	Louise J. Kitchen	ENR100/4-15

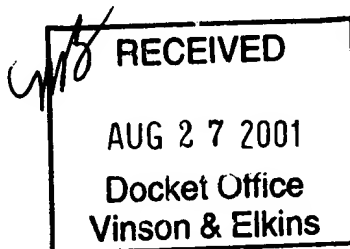
CONFIRMATION NO. 7189

FORMALITIES LETTER



\*OC000000006458362\*

Stephen S. Hodgson  
Vinson & Elkins L.L.P.  
2300 First City Tower  
1001 Fannin  
Houston, TX 77002-6760



Date Mailed: 08/22/2001

**NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION**

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);
  - drawings have a line quality that is too light to be reproduced (weight of all lines and letters must be heavy enough to permit adequate reproduction) or text that is illegible (reference characters, sheet numbers, and view numbers must be plain and legible) see 37 CFR 1.84(l) and (p)(1);

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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/895,281	06/29/2001	2161	710	ENR100/4-15	16	10	2

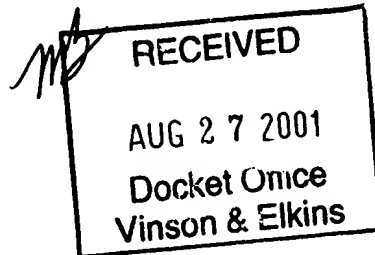
CONFIRMATION NO. 7189

FILING RECEIPT



\*OC000000006458361\*

Stephen S. Hodgson  
Vinson & Elkins L.L.P.  
2300 First City Tower  
1001 Fannin  
Houston, TX 77002-6760



Date Mailed: 08/22/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**

Louise J. Kitchen, Residence Not Provided;  
Jay C. Webb, Residence Not Provided;  
Marcello Romano, Residence Not Provided;

**Domestic Priority data as claimed by applicant**

THIS APPLN CLAIMS BENEFIT OF 60/215,471 06/30/2000  
AND CLAIMS BENEFIT OF 60/218,473 07/14/2000

**Foreign Applications**

If Required, Foreign Filing License Granted 08/21/2001

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

**Title**

Single party buying and selling commodities with multiple counterparties

**Preliminary Class**

705

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**Data entry by : VORACHACK, CHUNTASORN    Team : OIPE**

**Date: 08/22/2001**



**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

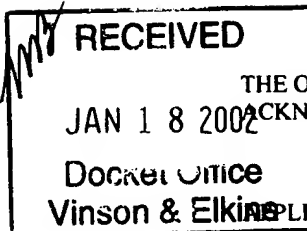
**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231

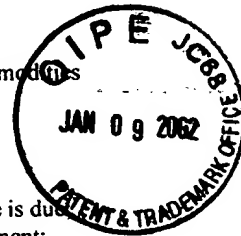
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THE OFFICIAL DATE STAMP HEREON BY THE USPTO  
ACKNOWLEDGES RECEIPT OF THE FOLLOWING:

APPLICANT: Louise J. Kitchen et al.  
APPLICATION NUMBER: 09/895,281  
FILING DATE: June 29, 2001  
TITLE: Single Party Buying and Selling Commodities  
with Multiple Counterparties  
DOCKET NO.: ENR100/4-15  
ENCLOSURES:  
1) Preliminary Amendment;  
2) Fee transmittal sheet, which indicates no fee is due;  
3) Supplemental Information Disclosure Statement;  
4) Form PTO-1449;  
5) Copy of each reference cited in Form PTO-1449; and  
6) Certificate of Mailing.

Date Mailed: December 27, 2001



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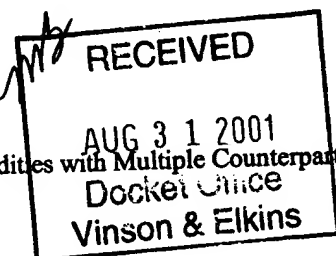
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APPLICANT: Louise J. Kitchen et al.  
APPLICATION NUMBER: 09/895,281  
FILING DATE: June 29, 2001  
TITLE: Single Party Buying and Selling Commodities with Multiple Counterparties  
DOCKET NO.: ENR100/4-15  
ENCLOSURES:  
1) Petition for Entry of Replacement Drawings;  
2) Seventeen (17) pages of replacement drawings; and  
3) Check in the amount of \$130.00

Express Mail Label No. EL686106268US

Mailed: August 21, 2001



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ENR100/4-15 53H.



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THE OFFICIAL DATE STAMP HEREON BY THE USPTO ACKNOWLEDGES  
RECEIPT OF THE FOLLOWING:

APPLICANT: Louise J. Kitchen et al.  
APPLICATION NUMBER: 09/895,281  
CONFIRMATION NO.: 7189  
FILING DATE: June 29, 2001

TITLE: Single Party Buying and Selling Commodities with Multiple  
Counterparties

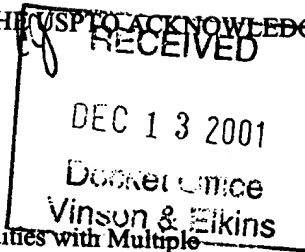
DOCKET NO.: ENR100/4-15

ENCLOSURES:

- 1) Response to Notice to File Missing Parts of Nonprovisional Application;
- 2) Executed Declaration; and
- 3) Check in the amount of \$130.00

Express Mail Label No. EL717835533US

Mailed: October 19, 2001



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